

032204

2251
U.S. PTO

Please type a plus sign (+) inside this box

+

PTO/SB/05 (2/98)

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No.

500441.04

March 22, 2004

First Inventor or Application Identifier

Judson R. Sharples

Title

METHOD FOR CONTROLLING PH DURING PLANARIZATION AND
CLEANING OF MICROELECTRONIC SUBSTRATES

Express Mail Label No.

EV 426584177 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-14501. ☒ Fee Transmittal Sheet (+ copy)
(Submit an original and a duplicate for fee processing)2. ☐ Applicant(s) Claim(s) Small Entity Status3. ☒ Specification [Total Pages] **28**
(preferred arrangement set forth below)

- Descriptive Title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 USC 113) [Total Sheets] **3**5. ☒ Oath or Declaration [Total Pages] **2**

- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 CFR 1.63(d)(2) and 1.33(b)

6. ☒ Application Data Sheet (37 C.F.R. 1.76)7. ☐ CD-ROM or CD-R in duplicate, large table or Computer
Program (Appendix)8. ☐ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)a. ☐ Computer-Readable Form (CRF)b. ☐ Specification Sequence Listing on:

- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper

c. ☐ Statement verifying identity of above copies**ACCOMPANYING APPLICATION PARTS**9. ☐ Certification Under 35 U.S.C. 122(b)(2)(B)(i)10. ☐ Assignment Papers (cover sheet & document(s))11. ☒ 37 CFR 3.73(b) Statement ☒ Power of Attorney
(when there is an assignee)12. ☐ English Translation Document (if applicable)13. ☒ Preliminary Amendment Total Pages **9**14. ☒ Return Receipt Postcard15. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations16. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)17. ☒ Other: Certificate of Express Mail
Check18. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment☒ Continuation ☐ Divisional ☐ Continuation-In-Part (CIP) of prior Application No.: 09/843,293 Filed April 24, 2001Prior application information: Examiner Eziamara Anthony OjiniGroup / Art Unit 3723☒ **Incorporation By Reference** (useable if box 5b is checked)The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of
the disclosure of the accompanying application and is hereby incorporated by reference therein.☐ Claims the benefit of Provisional Application No. _____**CORRESPONDENCE ADDRESS**Mark W. Roberts, Ph.D.
Dorsey & Whitney LLP
1420 Fifth Avenue, Suite 3400
Seattle, Washington 98101-4010
(206) 903-8800 phone / (206) 903-8820 fax

Customer No. 27,076

TYPED or PRINTED NAME Mark W. Roberts, Ph.D.REGISTRATION NO. 46,160SIGNATURE Mark W. RobertsDate 03-22-04

FEE TRANSMITTAL SHEET (FOR FY 2004)

Complete if Known

| | |
|----------------------|-----------------------|
| Express Mail No. | EV 426584177 US |
| Filing Date | Concurrently Herewith |
| First Named Inventor | Judson R. Sharples |
| Group Art Unit | Not Yet Assigned |
| Examiner | Not Yet Assigned |
| Atty. Docket Number | 500441.04 |

METHOD OF PAYMENT (Check One)

1. ☒ The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. §§ 1.16 and 1.17 and 1.136(a)(3) and credit any over payments to Deposit Account No.: 50-1266; Deposit Account Name: DORSEY & WHITNEY LLP

2. ☒ Check Enclosed

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | | Small Entity | | Fee Description |
|--------------|----------|--------------|----------|--------------------------------------------------------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | |
| 1001 | 770 | 2001 | 385 | <input checked="" type="checkbox"/> Utility Filing Fee |
| 1002 | 340 | 2002 | 170 | <input type="checkbox"/> Design Filing Fee |
| 1003 | 530 | 2003 | 265 | <input type="checkbox"/> Plant Filing Fee |
| 1004 | 770 | 2004 | 385 | <input type="checkbox"/> Reissue Filing Fee |
| 1005 | 160 | 2005 | 80 | <input type="checkbox"/> Provisional Filing Fee |

Subtotal (1) \$ 770

2. EXTRA CLAIM FEES

| Current Claims | Prior | Extra | Fee | Fee Paid |
|---------------------------|-----------|-----------|--------------|---------------|
| Total 33 | - 20 | = 13 | x \$ 18 | = \$ 234 |
| Ind. 3 | - 3 | = 0 | x \$ 86 | = \$ 0 |
| Multiple Dependent Claims | | | x \$ | = \$ |

Subtotal (2) \$ 234

| Large Entity | | Small Entity | | Fee Description |
|--------------|----------|--------------|----------|---------------------------------------------------------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | |
| 1202 | 18 | 2202 | 9 | Claims in excess of 20 |
| 1201 | 86 | 2201 | 43 | Independent claims in excess of 3 |
| 1203 | 290 | 2203 | 145 | Multiple dependent Claim |
| 1204 | 86 | 2204 | 43 | Reissue independent claims over original patent |
| 1205 | 18 | 2205 | 9 | Reissue claims in excess of 20 and over original patent |

3. ADDITIONAL FEES

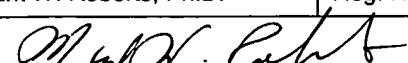
| Large Entity | | Small Entity | | Fee Description | Fee paid |
|--------------|----------|--------------|----------|----------------------------------------------------------------------------|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 1051 | 130 | 2051 | 65 | Surcharge - Late filing fee or oath | \$ |
| 1052 | 50 | 2052 | 25 | Surcharge - late provisional filing fee or cover sheet | \$ |
| 1053 | 130 | 1053 | 130 | Non-English specification | \$ |
| 1812 | 2,520 | 1812 | 2,520 | For Filing a Request for <i>ex parte</i> Reexamination | \$ |
| 1804 | 920 | 1804 | 920 | Requesting publication of SIR prior to Examiner action | \$ |
| 1805 | 1,840 | 1805 | 1,840 | Requesting publication of SIR after Examiner action | \$ |
| 1251 | 110 | 2251 | 55 | Extension for reply within first month | \$ |
| 1252 | 420 | 2252 | 210 | Extension for reply within 2 nd month | \$ |
| 1253 | 950 | 2253 | 475 | Extension for reply within 3 rd month | \$ |
| 1254 | 1,480 | 2254 | 740 | Extension for reply within 4 th month | \$ |
| 1255 | 2,010 | 2255 | 1,005 | Extension for reply within 5 th month | \$ |
| 1401 | 330 | 2401 | 165 | Notice of Appeal | \$ |
| 1402 | 330 | 2402 | 165 | Filing a brief in support of an appeal | \$ |
| 1403 | 290 | 2403 | 145 | Request for oral hearing | \$ |
| 1814 | 110 | 2814 | 55 | Terminal Disclaimer Fee | \$ |
| 1452 | 110 | 2452 | 55 | Petition to revive - unavoidable | \$ |
| 1453 | 1,330 | 2453 | 665 | Petition to revive - unintentional | \$ |
| 1501 | 1,330 | 2501 | 665 | Utility/Reissue issue fee | \$ |
| 1502 | 480 | 2502 | 240 | Design issue fee | \$ |
| 1503 | 640 | 2503 | 320 | Plant issue fee | \$ |
| 1460 | 130 | 1460 | 130 | Petitions to the Commissioner | \$ |
| 1807 | 50 | 1807 | 50 | Processing fee under 37 CFR 1.17(q) | \$ |
| 1806 | 180 | 1806 | 180 | Submission of IDS | \$ |
| 8021 | 40 | 8021 | 40 | Recording each patent assignment per property (times number of properties) | \$ |
| 1801 | 770 | 2801 | 385 | Request for Continued Examination (RCE) | \$ |

Other fee (specify) _____

Subtotal (3) \$ 0

Total Amount of Payment: \$ 1004

Submitted by:

| | | |
|------------------------------------------------------------------------------------------------|------------------|---------------------------|
| Name: Mark W. Roberts, Ph.D. | Reg. No.: 46,160 | Telephone: (206) 903-8800 |
| Signature:  | | Date: 03-22-04 |

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Judson R. Sharples, Kenneth F. Zacharias and Guy F. Hudson

Filed : March 22, 2004

Attorney Docket No.: 500441.04

Title : METHOD FOR CONTROLLING PH DURING PLANARIZATION AND
CLEANING OF MICROELECTRONIC SUBSTRATES

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

MAIL STOP PATENT APPLICATION

Commissioner for Patents

P.O. Box 1450

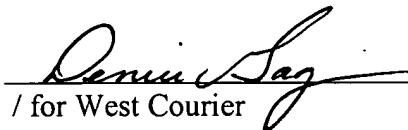
Alexandria, VA 22313-1450

Sir:

I hereby certify that the enclosures listed below are being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Certificate No. EV 426584177 US, on March 22, 2004, addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Respectfully submitted,

DORSEY & WHITNEY LLP


/ for West Courier

MWR:pep

Enclosures:

Postcard

Check

PTO/SB/05 Utility Patent Application Transmittal

Application Data Sheet

Fee Transmittal Sheet (+ copy)

General Authorization

Preliminary Amendment

Specification, Claims, Abstract (28 pages)

3 Sheets of Drawings (Figures 1-3)

Copy of Declaration and Power of Attorney

Copy of Election and Power of Attorney

Copy of Revocation and Substitute Power of Attorney

Information Disclosure Statement and PTO-1449

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Judson R. Sharples, Kenneth F. Zacharias, Guy F. Hudson

Filed : Concurrently herewith Attorney Docket No.: 500441.04

Title : METHOD FOR CONTROLLING PH DURING PLANARIZATION AND CLEANING
OF MICROELECTRONIC SUBSTRATES

GENERAL AUTHORIZATION

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

With respect to the above-identified application, the Commissioner is authorized to charge any fees under 37 C.F.R. §§ 1.16 and 1.17 which may be required and to treat any concurrent or future reply requiring a petition for an extension of time under 37 C.F.R. § 1.136(a)(3) for its timely submission as incorporating a petition therefor for the appropriate length of time and to charge any fees which may be required during the course of prosecution, or credit any overpayment, to Deposit Account No. 50-1266.

Date

03-02-04



Mark W. Roberts, Ph.D.
Registration No. 46,160

MWR:pep

1420 Fifth Avenue, Suite 3400
Seattle, WA 98101-4010
(206) 903-8800
Fax (206) 903-8820